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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/741,251	12/21/2000	Andrew Issac Deitsch	RD-27,606	8203

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GENERAL ELECTRIC COMPANY  
GLOBAL RESEARCH  
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NISKAYUNA, NY 12309

EXAMINER

DAVIS, ZACHARY A

ART UNIT PAPER NUMBER

2137

DATE MAILED: 07/14/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/741,251

Applicant(s)

DEITSCH ET AL.

Examiner

Zachary A Davis

Art Unit

2137

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 21 December 2000.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-101 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-101 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 21 March 2001 is/are: a) ☐ accepted or b) ☒ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

## **DETAILED ACTION**

### ***Drawings***

1. The drawings are objected to as failing to comply with 37 CFR 1.84(p)(5) because they include the following reference character(s) not mentioned in the description: 60, 62, 64, 66, 68, 70, 72, 74, 76, and 78 (see Figure 5). Corrected drawing sheets, or amendment to the specification to add the reference character(s) in the description, are required in reply to the Office action to avoid abandonment of the application. Any amended replacement drawing sheet should include all of the figures appearing on the immediate prior version of the sheet, even if only one figure is being amended. The replacement sheet(s) should be labeled "Replacement Sheet" in the page header (as per 37 CFR 1.84(c)) so as not to obstruct any portion of the drawing figures. If the changes are not accepted by the examiner, the applicant will be notified and informed of any required corrective action in the next Office action. The objection to the drawings will not be held in abeyance.

### ***Claim Rejections - 35 USC § 102***

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

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(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

3. Claims 1-101 are rejected under 35 U.S.C. 102(e) as being anticipated by Lloyd et al, US Patent 6219790.

In reference to Claim 1, Lloyd discloses a gateway device including an authenticator (column 3, lines 23-30), an access authorizer (column 3, lines 31-34), and an activity manager (column 4, lines 48-50; column 13, lines 2-21).

In reference to Claim 10, Lloyd discloses a gateway device including an authenticator (column 3, lines 23-30), an access authorizer (column 3, lines 31-34), and an activity manager (column 4, lines 48-50; column 13, lines 2-21).

In reference to Claim 19, Lloyd discloses a gateway device including a request handler (column 5, lines 59-64), an authenticator (column 3, lines 23-30), an access authorizer (column 3, lines 31-34), an activity manager (column 4, lines 48-50; column 13, lines 2-21), and a response component (column 10, lines 25-29; column 5, lines 29-37).

In reference to Claim 26, Lloyd discloses a gateway device including a request handler (column 5, lines 59-64), an authenticator (column 3, lines 23-30), an access authorizer (column 3, lines 31-34), an activity manager (column 4, lines 48-50; column

13, lines 2-21), a data format translator (column 3, lines 8-9), and a response component (column 10, lines 25-29; column 5, lines 29-37).

In reference to Claim 27, Lloyd discloses a gateway device including means for authenticating the identities of the service provider and device (column 3, lines 23-30), means for permitting the service provider to interact with the device (column 3, lines 31-34), and means for managing activities between the service provider and device (column 4, lines 48-50; column 13, lines 2-21).

In reference to Claim 36, Lloyd discloses a system including at least one appliance in a first network (Figure 1, workstation 128; column 5, lines 38-40); a service provider in a second network (Figure 1, network 102; column 5, lines 38-40); and a gateway device including an authenticator (column 3, lines 23-30), an access authorizer (column 3, lines 31-34), and a service manager (column 4, lines 48-50; column 13, lines 2-21).

In reference to Claim 45, Lloyd discloses a system including at least one device in a first network (Figure 1, workstation 128; column 5, lines 38-40); a service provider in a second network (Figure 1, network 102; column 5, lines 38-40); and a gateway device including an authenticator (column 3, lines 23-30), an access authorizer (column 3, lines 31-34), and an activity manager (column 4, lines 48-50; column 13, lines 2-21).

Claim 54 is directed to a method corresponding substantially to the device of Claim 1, and is rejected by a similar rationale.

Claim 62 is directed to a method corresponding substantially to the device of Claim 10, and is rejected by a similar rationale.

Claim 70 is directed to a method corresponding substantially to the device of Claim 19, and is rejected by a similar rationale.

Claim 76 is directed to a method corresponding substantially to the system of Claim 36, and is rejected by a similar rationale.

Claim 84 is directed to a method corresponding substantially to the system of Claim 45, and is rejected by a similar rationale.

Claim 92 is directed to a software implementation of the device of Claim 1 performing the method of Claim 54, and is rejected by a similar rationale. Further, Lloyd discloses that the device and method may be implemented in hardware, software, or a combination of the two (column 13, lines 22-25).

Claim 100 is directed to a software implementation of the device of Claim 10 performing the method of Claim 62, and is rejected by a similar rationale. Further, Lloyd

discloses that the device and method may be implemented in hardware, software, or a combination of the two (column 13, lines 22-25).

Claim 101 is directed to a software implementation of the device of Claim 19 performing the method of Claim 70, and is rejected by a similar rationale. Further, Lloyd discloses that the device and method may be implemented in hardware, software, or a combination of the two (column 13, lines 22-25).

In reference to Claims 2, 11, 20, 28, 37, and 46, Lloyd further discloses a digital signature identifying the gateway device (column 6, lines 26-30).

In reference to Claims 3, 12, 21, 29, 38, 47, 55, 63, 71, 77, 85, and 93, Lloyd further discloses a digital signal verifier (column 6, lines 6-10).

In reference to Claims 4, 13, 22, 30, 39, 48, 56, 64, 72, 78, 86, and 94, Lloyd further discloses a cryptographic component (column 5, lines 52-64).

In reference to Claims 5, 14, 23, 31, 40, 49, 57, 65, 73, 79, 87, and 95, Lloyd further discloses specifying permitted activities (column 6, lines 17-21).

In reference to Claims 6, 15, 32, 41, 50, 58, 66, 80, 88, and 96, Lloyd further discloses a request handler (column 5, lines 59-64).

In reference to Claims 7, 16, 33, 42, 51, 59, 67, 81, 89, and 97, Lloyd further discloses a response component (column 10, lines 25-29; column 5, lines 29-37).

In reference to Claims 8, 17, 24, 34, 43, 52, 60, 68, 74, 82, 90, and 98, Lloyd further discloses a data format translator (column 3, lines 8-9).

In reference to Claims 9, 18, 25, 35, 44, 53, 61, 69, 75, 83, 91, and 99, Lloyd further discloses a network protocol translator (column 2, lines 58-67).

### ***Conclusion***

4. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

- a. Tabuki, US Patent 5841970, discloses a method for authentication and authorization including a server that verifies signatures.
- b. Pinder et al, US Patent 6105134, discloses a system in which a device is authenticated and authorized by a gateway device to receive conditional access services from a service provider.
- c. Borella et al, US Patent 6353891, discloses a gateway device that uses signatures for authentication of host devices.
- d. Gossett Dalton, Jr. et al, US Patent 6426955, discloses a system including gateways that authenticate and authorize end-users and service providers.
- e. Grantges, Jr. et al, US Patent 6510464, discloses a gateway that performs authorization and authentication functions.
- f. Hawkins, US Patent Application Publication 2001/0032254, discloses an apparatus for providing access to wireless service from a wireless provider to client devices where the apparatus authenticates the devices.



Any inquiry concerning this communication or earlier communications from the examiner should be directed to Zachary A Davis whose telephone number is (703) 305-8902. The examiner can normally be reached on weekdays 8:30-6:00, alternate Fridays off.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gregory Morse can be reached on (703) 308-4789. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

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zad

  
GREGORY MORSE  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2100